Guidelines and Fill-Ir Forms are available at www.imls.gov

## 2005 21<sup>ST</sup> CENTURY MUSEUM PROFESSIONALS

Grant Application and Guidelines



of MUSEUM
and LIBRARY
SERVICES

Application Deadline:

March 15, 2005

For information, call



#### 21<sup>st</sup> CENTURY Museum Professionals

#### Grant Application and Information

Fiscal Year 2005

#### What is IMLS?

The Institute of Museum and Library Services (IMLS), an independent agency within the Executive Branch, was established by an Act of Congress in 1996 to improve museum, library, and information services. Within IMLS, the Office of Museum Services was established to encourage and assist museums in modernizing their methods and facilities so that they may be better able to conserve our cultural, historic, and scientific heritage; and to ease the financial burden borne by museums as a result of their increasing use by the public. The Office of Library Services was established to consolidate federal library programs, to stimulate excellence, and promote access to resources in all types of libraries for individuals of all ages, to promote library services that provide access to information through electronic networks, to provide linkages among and between libraries and to promote targeted library services to people of diverse backgrounds and abilities.

IMLS provides support to all types of libraries through grants to states and through discretionary programs. For many museums, IMLS is the only source of federal support. The National Museum and Library Services Board, a Presidentially-appointed body confirmed by the Senate, provides policy advice to the Director of IMLS.

#### For more information call or write:

Institute of Museum and Library Services 1100 Pennyslvania Avenue, NW Washington, DC 20506 (202) 606-8536

http://www.imls.gov

TTY (for hearing impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant application and information booklet by contacting IMLS.

#### Burden estimate and request for public comments

Public reporting burden for this collection of information is estimated to average 35 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comment regarding this burden estimate or any other aspect of this collection of information, including suggestion for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue NW, Room 223, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0029), Washington, DC 20503.



Dear Colleagues,

It is a great pleasure to present the inaugural guidelines for the new 21st Century Museum Professionals grant program. With these guidelines, IMLS together with the museum community takes an important step in addressing one of the most significant challenges facing museums today.

While IMLS has long supported professional development activities, this program launches a new approach. It will support museum professional associations, universities, and individual museums in creating and strengthening programs for professional development. Its focus is keeping pace with the evolving needs of museum professionals.

New technology, changing demographics and evolving economic models impact all museum professionals whether on the front lines, behind the scenes, or in senior leadership positions. The public value of our institutions is dependent upon a wellprepared and well-supported workforce.

We look forward to working with the museum community to develop a workforce that is ready to provide the highest quality museum services to the broadest possible public.

Sincerely,

Robert S. Martin, Ph.D.

Director

### Program at a Glance

Deadline: March 15, 2005

Matching Requirement: 1:1

**Amount of Grant:** \$15,000 – \$500,000

Eligibility: See page 1.3

Grant Period: Up to Three Years

Must begin between October 1, 2005 and

December 1, 2005

Program Contact: Jeannette Thomas,

202/606-8548,

jkthomas@imls.gov

Awards Notification: Mid-September 2005

### PROGRAM DESCRIPTION

The purpose of the 21st Century Museum Professionals program is to increase the capacity of museums to create and sustain a nation of learners by improving museum staff knowledge and skills in the range of museum operations. The anticipated result of having a more knowledgeable and skilled workforce is that museums will improve the value they provide to their communities.

IMLS supports this purpose by providing grants that help museum professionals acquire, improve, and maintain their knowledge of and skills for museums operations and apply this increased knowledge and skill to their work. 21st Century Museum Professionals grants support a range of activities, including professional training and leadership development for museum staff at all types of museums, as well as training in all areas of museum operations, including, but not limited to, interpretation, collections care, conservation, museum management, or financial management. This is an opportunity to serve challenges faced by museum professionals in an era of increased audience expectations, diverse audiences with diverse needs, greater access to collections and the information they hold, evolving collection care standards and other demands.

21st Century Museum Professionals projects should reach multiple institutions and diverse audiences. Training for individuals will be supported, but proposals must meet the grant program's goals of increasing both museum professionals and their institution's capacity to serve their communities. Projects funded in the 21st Century Museum Professionals program should reach broad groups of museum professionals, throughout a city, a county, a state, a region, or the nation and increase their capacity to serve their audiences.

### **Table of Contents**

part 1	GENERAL INFORMATION	
	The Opportunity: To Enhance the Skills of Museum Professionals	1.2
	Eligibility	1.3
	Who May Apply	1.3
	Partnerships	1.4
	Conditions of a Grant	1.5
	Duration of a Grant	1.5
	Project Start Date	1.5
	Amount of Grant	1.5
	Cost Sharing	1.5
	Use of Funds	1.5
	Project Evaluation	1.6
	Copyright/Work Products	1.6
	Announcement of Award	1.6
	Payment, Accounting, and Reporting Procedures	1.6
	Data Universal Numbering System (DUNS)/ Taxpayer Identification Number (TIN)	1.7
	Application Review and Evaluation	1.8
part 2	COMPLETING THE APPLICATION NARRATIVE	
	Application Evaluation Criteria	2.2
	Narrative Evaluation Criteria	2.2
	Guidance for Digitization Projects	2.4
	Information to Include in Proposal	2.4
	Interoperability	2.4
	Digitization Plans	2.4
	Resources for Digitization Projects	2.4

#### part 3 PREPARING AND SENDING THE APPLICATION

Preparing Your Application	3.2
Format	3.2
Electronic Fill-In Application Forms	3.3
Face Sheet	3.3
Narrative	3.4
Schedule of Completion	3.4
Project Budget	3.4
Specifications for Projects Involving Digitization, if applicable	3.7
Proof of Non-profit Status	3.9
Partnership Statement	3.9
Organizational Profile(S)	3.9
List of Key Project Staff and Consultants	3.9
Resumes	3.9
Letters of Commitment	3.9
Attachments	3.9
How to Assemble the Application Package	3.10
Sending the Application to IMLS	3.12
Shipping	3.12
IMLS Acknowledgement	3.12
Proof of Shipping	3.12

art 4	APPLICATION FORMS	
	Application Checklist	4.2
	Face Sheet	4.3
	Project Budget Forms	4.6
	Section 1: Summary Budget	4.6
	Section 2: Detailed Budget	4.7
	Specifications for Projects Involving Digitization	4.9
	Schedule of Completion	4.11
	Partnership Statement	4.12
	Assurances	4.13-4.18

### PART 1 GENERAL INFORMATION

## The Opportunity: To Enhance the Skills of Museum Professionals

Museums play a critical role in the education of the public in the United States by preserving America's rich cultural heritage and helping to transmit it from one generation to the next. Museum professionals need high levels of knowledge and expertise as they help to create public value for both local and national communities. The purpose of the 21st Century Museum Professionals program is to increase the capacity of museums to create and sustain a nation of learners by improving museum staff knowledge and skills in the range of museum operations. The anticipated result of having a more knowledgeable and skilled workforce is that museums will improve the value they provide to their communities.

IMLS supports this purpose by providing grants that help museum professionals acquire, improve, and maintain their knowledge of and skills for museums operations and apply this increased knowledge and skill to their work. This is an opportunity to serve challenges faced by museum professionals in an era of increased audience expectations, diverse audiences with diverse needs, greater access to collections and the information they hold, evolving collection care standards and other demands.

21st Century Museum Professionals grants support a range of activities, including professional training and leadership development for museum staff at all types of museums, as well as training in all areas of museum operations, including, but not limited to, interpretation, collections care, conservation, museum management, or financial management.

A successful proposal will have one or more of the following characteristics

- creates and delivers resources to assist the development of museum leaders
- delivers information on how to improve staff practices in operating museums
- develops or promotes uses of technology that improve the ability of staff to perform museums' operations and meet museum missions and goals
- develops, documents, and disseminates professional development programs that address the needs of museum professionals in small museums

21st Century Museum Professionals projects should reach multiple institutions and diverse audiences. Training for individuals will be supported, but proposals must meet the grant program's goals of increasing both museum professionals and their institution's capacity to serve their communities. Projects funded in the 21st Century Museum Professionals program should reach broad groups of museum professionals, throughout a city, a county, a state, a region, or the nation and increase their capacity to serve their audiences.

### Eligibility

#### WHO MAY APPLY

An applicant must

- be either a unit of state or local government or private nonprofit organization that has tax-exempt status under the Internal Revenue Code;
- be located in one of the fifty states of the United States, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau; and
- qualify as one of the three types of organizations listed below:
  - 1. A museum¹ that (1) is organized on a permanent basis for essentially educational or aesthetic purposes; (2) cares for and owns or uses tangible objects, whether animate or inanimate, and exhibits these objects on a regular basis through facilities it owns or operates; (3) has at least one professional staff member or the full-time equivalent, whether paid or unpaid, whose responsibilities relate solely to the museum's services and operations²; and (4) is open and providing museum services to the general public on a regular basis. (A museum that exhibits objects to the general public for at least 120 days a year fulfills this last requirement.³)

Please note, a museum located within a multipurpose public or private nonprofit organization such as a municipality, university, historical society, foundation, or a cultural center may apply on its own behalf for a 21st Century Museum Professionals grant if (1) the museum is able independently to fulfill all the requirements for museum eligibility listed above, (2) functions as a discrete unit within the parent organization, (3) has its own fully segregated and itemized operating budget, and (4) has the authority to make application on its own. When any of the last three conditions cannot be met, a museum may apply through its parent organization, and the parent organization may submit a single application for one or more of its museums.

- 2. A museum service organization or association<sup>4</sup> that engages in activities designed to advance the well-being of museums and museum professionals, and institutions of higher education.
- 3. An institution of higher education, including public and nonprofit universities.
- 1 Eligible museums include aquariums, arboretums, art museums, botanical gardens, children/youth museums, general museums (those having two or more significant disciplines), history museums, nature centers, planetariums, science/technology centers, specialized museums which are limited to a single distinct subject, and zoological parks.
- 2 When a museum does not have a full-time professional staff member, it has to demonstrate in the application that it has the full-time equivalent of at least one professional staff member and that, if it receives an IMLS award, one of the part-time professional staff members will be responsible for overseeing grant activities and ensuring that the museum is in compliance with the requirements of the grant.
- 3 If a museum is not scheduled to be open to the public 120 days a year, it is still eligible to apply to IMLS for funding if it can demonstrate that, in the year preceding the submission of its application, the combination of days it was scheduled to be open and days it was open by appointment equal at least 120 days.
- 4 A friends group associated with a single museum is not an eligible applicant.

### **Partnerships**

Partnerships may strengthen applications submitted to this program, if they are appropriate to the project. Partnerships are not required in this program. If an applicant chooses to work in partnership with other organizations, IMLS encourages partnerships that are on a scale sufficient to address the broadest possible needs, including statewide and regional collaborations. An application may include one or more partners. The lead applicant in a partnership must be eligible to apply as an individual entity and all members of a partnership should be active contributors to and beneficiaries of project activities.

The members of the partnership shall either designate one member of the partnership to apply for the grant or establish a separate, eligible legal entity, consisting of the partnership members, to apply for the grant. The designated applicant must be eligible to apply as an individual entity. Any group application must contain a signed Partnership Statement that details the activities that each member of the partnership plans to perform and binds each member of the partnership to every statement and all assurances made by the applicant in the application. The applicant shall submit the Partnership Statement with its application. A sample Partnership Statement is on page 4.12.

If IMLS makes a grant to a partnership, the lead applicant for the partnership is the grantee and is legally responsible for the use of all grant funds and ensuring that the project is carried out by the partnership in accordance with applicable federal laws, regulations, and requirements. The lead applicant must be the fiscal agent but may subcontract with partners for other specific activities or services. Each member of the partnership is legally responsible for carrying out the activities it agrees to perform and using the funds it receives in accordance with applicable federal laws, regulations, and requirements.

A parent organization controlling multiple museums or libraries which are not autonomous but which are otherwise eligible may submit applications on behalf of one or more of the eligible institutions. Two organizations under the same administrative authority and operational control, however, may not serve as the sole partner applicants in a category that requires a partnership.

### Conditions of a Grant

DURATION OF A GRANT Generally, project activities supported by the 21st Century Museum Professionals program may be carried out for a period of up to 36 months.

PROJECT START DATE

Projects may begin no earlier than October 1, 2005, and no later than December 1, 2005. Projects must begin on the first day of the month.

AMOUNT OF GRANT 21st Century Museum Professionals grants range from \$15,000 to \$500,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than that requested.

COST SHARING Projects costs must be matched 1:1 by the applicant. Applicants must provide at least one-half of the total cost of the project from nonfederal sources. These costs may be supported by the grantee's cash outlays including cash contributions from third parties that are used to support project costs, the value of the grantee's contributions of property and services to the project, and third-party in-kind contributions that are used to support project activities. IMLS prefers that applicants provide at least 50 percent of the cost of any equipment to be purchased for the project. IMLS encourages applicants to contribute as cost sharing the salaries of any permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain how their regular duties will be performed during the grant period.

IMLS strongly encourages applicants to seek third-party donations of cash, equipment, and services. If any funds are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe its plan for meeting the promised cost share from other sources in the event that the pending funds are not received. All listed expenses, including all cost sharing, must be incurred during the grant period. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing. Government-wide uniform administrative rules and requirements apply.

USE OF FUNDS

21st Century Museum Professionals grants may be used for a broad range of project activities. Grant funds may not be used for construction, acquisition of collections, contributions to endowments, social activities, ceremonies, entertainment, or pre-grant costs. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing. All listed expenses must be incurred during the grant period. Government-wide cost principles apply.

#### PROJECT EVALUATION

IMLS expects that most 21st Century Museum Professionals grant activities will have measurable results, and IMLS expects grantees to evaluate and report on these results. IMLS supports and encourages the use of an evaluation tool called Outcomes Based Evaluation (OBE) when it is appropriate for the type of project to be conducted. Additional information about Outcomes Based Evaluation is available on the IMLS Web site at http://www.imls.gov/grants/current/crnt\_obe.htm or upon request from IMLS. IMLS provides a two-day course on OBE for recipients of 21st Century Museum Professionals grants. Applicants are required to request travel funds to attend this training and other IMLS-designated meetings. Applicants should budget \$2,000 per year for this IMLS-designated travel, or \$4,000 per year for partnership projects.

#### COPYRIGHT/ WORK PRODUCTS

IMLS requires acknowledgement of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports. Generally, a Beta version of software developed on an IMLS funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects.

#### ANNOUNCEMENT OF AWARD

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions by mid-September, 2005.

#### PAYMENT, ACCOUNTING, AND REPORTING PROCEDURES

A federal accounting office handles the payment of 21st Century Museum Professionals grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements. In addition, government-wide uniform grant administrative rules and requirements apply.

Grant recipients are required to submit six-month performance reports as well as annual financial status reports. They are also required to submit a final performance report and a final financial report.

### Data Universal Numbering System (DUNS)/ Taxpayer Identification Number (TIN)

DUNS

In order to improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget has directed all federal agencies to require all applicants to federal grants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (E-Grants).

Organizations should verify that they have a DUNS number or take the steps needed to obtain one. Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting http://www.dnb.com/us/. Individuals who would personally receive a grant or cooperative agreement award from the federal government apart from any business or non-profit organization they may operate are exempt from this requirement.

TIN

The Taxpayer Identification Number is an identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number is issued by the SSA whereas all other TINs are issued by the IRS. An Employer Identification Number (EIN), also known as a federal Tax Identification Number, is a nine-digit number that the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

If your organization does not have a DUNS or TIN number, your application will be rejected.

**For more information, contact:** Jeannette Thomas, Program Officer

Phone: 202/606-8548 E-mail: jkthomas@imls.gov

### Application Review and Evaluation

IMLS staff reviews all submissions to determine whether an applicant is eligible and whether an application is complete. IMLS staff may contact an applicant for information needed to make an eligibility determination. If an applicant is determined to be ineligible, the application will be rejected without evaluation. Incomplete applications are subject to rejection without evaluation. An applicant will be notified by mail if the institution's application is rejected, as provided in 45 C.F.R. Sections 1180.36, 1180.37.

Institutions may submit only one proposal at the 21st Century Museum Professionals grants deadline. An institution may apply as a lead applicant in one category and serve as a partner on other applications without jeopardizing its chances of funding.

All eligible and complete 21st Century Museum Professional program applications are peer reviewed under a competitive process using field review and/or sitting panels. Reviewers and panelists are drawn from professionals in the field with relevant areas of expertise in the types of activities identified in the application.

Reviewers are instructed to evaluate the proposed projects according to the criteria identified in these guidelines (page 2.2). Applicants should address all criteria in the Application Narrative, as supported by any appropriate attachments and support material.

### PART 2 COMPLETING APPLICATION NARRARTIVE

### Application Evaluation Criteria

A well-designed proposal narrative is thorough and succinct while addressing all of the following evaluation criteria. These criteria must be addressed in the order presented and must be labeled with number and/or section title to guide reviewers in their evaluation.

As stated in "Preparing Your Application" (page 3.2), the application narrative must address the Evaluation Criteria in the order presented here, with each response numbered, and must

- Be on 8.5- by 11-inch paper.
- Have a margin of at least .5 inch on all sides.
- Be printed in a font with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable.
- Conform to the seven-page limit.
- Have page numbers on each page, front and back if double-sided pages are used.

#### NARRATIVE EVALUATION CRITERIA

#### 1. TARGET AUDIENCE NEEDS

Describe the project's intended audience and the audience needs that the project serves. Discuss how the project benefits this audience of museum professionals or will improve this audience's delivery of museum services or operations.

**Review Criteria:** Evidence that the project designers identified an audience, performed a formal or informal assessment of their needs, and designed this project as the best solution to answer those needs.

#### 2. PROJECT DESIGN

Describe the scope of the project. Discuss overall project goals and objectives, the project planning process, the specific activities to implement the project, and the expected results.

**Review Criteria:** Extent to which the project proposes efficient, effective, and successful approaches to accomplish clear goals and objectives. If the project includes partnerships, evidence that all partners are active contributors to and beneficiaries of the partnership activities.

#### 3. PROJECT RESOURCES: TIME, PERSONNEL, BUDGET

Describe the allocation of time to complete project activities for the project's implementation. Describe personnel who will complete project activities, and discuss their qualifications and commitment to the project activities, particularly if they have other, ongoing duties. Discuss the budget allocated to accomplish project activities. Describe both the applicant's contributions to the project budget and how the applicant will meet the match requirement. If the project includes a partnership, discuss contributions to and benefits from the project for both the applicant and partner organizations.

**Review Criteria:** Evidence that the applicant will effectively complete the project activities through the deployment and management of resources including money,

facilities, equipment, and supplies. Evidence of sound financial management, coupled with an appropriate and cost efficient budget that uses appropriate resources to fulfill the matching requirement. Evidence that the project personnel demonstrate appropriate experience and expertise and can commit adequate time to accomplish project goals and activities. Reviewer evaluation will include Narrative, Budget Justification, Budget Forms, and Resumes.

#### 4. IMPACT AND EVALUATION

Describe how the project addresses issues that concern the museum field and will affect museum professionals. Describe specific outcomes that will result from the project. Describe the design, integration, and implementation of an assessment method that will measure project outcomes, findings, or products (depending on project goals).

**Review Criteria:** Degree to which the project reflects an understanding of current issues related to museum services. Extent to which the project has one or more of the following characteristics:

- The project reflects an understanding of museum service needs in the constituents and communities served by the applicant(s) and addresses issues appropriate to those individuals or organizations.
- The project is likely to contribute to results or products that will benefit multiple institutions and diverse constituencies.
- The project will result in increased knowledge and skills for museum staff, leading to improved practice.
- The project will have an impact on the professional development for a significant number of practicing or future museum professionals.

Evidence that evaluation will provide reliable information on which to judge impact or base actions. Evidence that the evaluation measures are tied directly to project goals.

#### 5. SUSTAINABILITY

Describe how the project's benefits will continue beyond the grant period, either through ongoing institutional support of project activities or products, development of institutional expertise and capacity, or through broad access to project findings.

**Review Criteria:** Extent to which the project will continue to benefit the museum field after the end of the grant period.

### Guidance for Digitization Projects

Some 21st Century Museum Professionals proposals will include the digitization of collections. While the training of staff should be the major component of these projects, IMLS anticipates that some projects could result in the creation of digitized collections or materials. These types of projects must provide information about their planning and the standards that they intend to use during the digitization element of the project. They must complete and submit the application form, Specifications for Projects Involving Digitization (see p. 4.9 to 4.10). Proposals that do not include digitization do not need to include any information on digitization or the Specifications for Projects Involving Digitization application form in their application materials.

INFORMATION TO INCLUDE IN PROPOSAL In the proposal narrative, describe the subject matter and its significance, including relationships to related collections. Explain how the material was or will be selected for digitization. Describe the additional value that digitization will bring to the materials, such as enabling innovative uses or attracting new audiences. Describe how potential users will discover the collection. The application also includes a form, Specifications for Projects Involving Digitization (see pages 4.9 to 4.10), which must be completed and submitted with the application. Funded digitization projects are encouraged to report their projects to a public registry of digital resources and/or a national bibliographic utility, as appropriate. The University of Illinois at Urbana-Champaign is creating a registry and a metadata repository of collections digitized with IMLS funding. See the project site at http://imlsdcc.grainger.uiuc.edu.

INTEROPERABILITY

Digitization projects should follow existing standards and best practices where applicable and should be interoperable with other collections.

DIGITIZATION PLANS Applicants for digitization projects are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application.

RESOURCES FOR DIGITIZATION PROJECTS IMLS has published "A Framework of Guidance for Building Good Digital Collections" as a resource for applicants planning digitization projects, which is now maintained by the National Information Standards Organization. It is available at http://www.niso.org/framework/forumframework.html. This document contains links to many Web sites with useful information for planning and implementing digitization projects. IMLS offers a wealth of information, including lists of digitization projects funded, at the Digital Corner on the IMLS Web site at: http://www.imls.gov/digitalcorner/index.htm.

The list of resources below will guide applicants to resources for learning more about digitization projects. It is neither exhaustive nor an endorsement by IMLS of any particular resource.

#### TRAINING

Many universities, organizations, and businesses provide training in digitization and related topics. The following are examples only—check the general resource lists for leads to more training opportunities and the topic lists below for training resources in specific subject areas.

- http://www.library.cornell.edu/preservation/tutorial/contents.html—Moving Theory into Practice: Digital Imaging Tutorial, by Cornell University Department of Preservation and Collections Maintenance.
- http://www.solinet.net/digital\_services/ds\_templ.cfm?doc\_id=2506—SOLINET (Southeastern Library Network) offers training in digital imaging, copyright, digital preservation, and other related topics.
- http://www.oclc.org/education/workshops/default.htm—OCLC (Online Computer Library Center) provides seminars, workshops, and online training in digital projects, preservation, copyright, and other topics related to digitization.

#### GENERAL

- http://www.cdpheritage.org/resource/index.html—The Colorado Digitization Program's Web site has a site devoted to digitization resources that includes information about copyright, metadata, digitization standards, and administrative
- http://memory.loc.gov/ammem/ftpfiles.html—Building Digital Collections: Technical Information and Background Papers, Library of Congress American Memory Project.
- http://library.amnh.org/diglib/index.html—The American Museum of Natural History's Digital Library Project Web site has information on and links to resources on many topics, such as planning, standards, and digital resources management.
- http://sunsite.berkeley.edu/imaging—Digitizing Images and Text, the Berkeley Digital Library portal, links to resources on digitization projects, resources, and tools.
- http://www.mainememory.net/home.shtml—The Maine Memory Network provides guidance and resources for its contributing cultural institutions such as libraries, museums, archives, and historical societies.
- http://images.library.uiuc.edu/resources/links.htm—The University of Illinois at Urbana-Champaign Digital Imaging Media Technology Initiative provides resources about many digitization topics, including a listing of current imaging programs, organizations, and committees.
- http://www.chin.gc.ca/English/index.html—The Canadian Heritage Information Network has information on creating and managing digital content.
- http://www.nedcc.org/digital/tofc.htm—The Handbook for Digital Projects: A Management Tool for Preservation and Access, a Northeast Document Conservation Center site, offers nine chapters of a handbook on project management, scanning, copyright issues, technical topics, best practices, vendor relations, and longevity. Includes many links to related sites.
- http://www.diglib.org/publications.htm—The Digital Library Federation has publications on a range of topics including digital image management and preservation.
- http://www.rlg.org/en/page.php?Page\_ID=12081—The Research Library Group's DigiNews, a bimonthly Web-based newsletter.
- http://www.asis.org/Bulletin/Jun-04/index.html—The Bulletin of the American Society for Information Science and Technology, vol. 30, no. 5, June/July 2004, contains a special section about online museum information.

#### **METADATA**

- http://www.niso.org/standards/resources/Metadata\_Demystified.pdf—Metadata Demystified, by Amy Brand, Frank Daly, and Barbara Meyers (The Sheridan Press and NISO Press, 2003).
- http://www.getty.edu/research/conducting\_research/standards/intrometadata/ index.html—Introduction to Metadata: Pathways to Digital Information, edited by Murtha Baca (Getty Research Institute, 2000).

#### PRESERVATION OF DIGITAL MATERIAL

- http://www.library.cornell.edu/iris/tutorial/dpm—Digital Preservation Management: Implementing Short-term Strategies for Long-term Problems, a tutorial by the Cornell University Department of Preservation and Collections Maintenance.
- http://www.dlib.org—D-Lib Magazine has many articles on preservation of digital materials.

#### INTELLECTUAL PROPERTY

- http://www.umuc.edu/distance/odell/cip—Center for Intellectual Property and Copyright in the Digital Environment, by the Office of Distance Education and Lifelong Learning at the University of Maryland University College.
- http://www.copyright.iupui.edu—Copyright Management Center (CMC), Indiana University–Purdue University Indianapolis.

#### UNIVERSAL ACCESS

- http://www.w3.org/WAI/—The World Wide Web Consortium's guidance and resources on web accessibility for people with disabilities.
- http://trace.wisc.edu/world/web—Designing More Usable Web Sites. The Trace Center presents resources on universally accessible Web guidelines, compliance with Section 508, and forums for discussing accessibility issues.

### PART 3

#### **PREPARING** AND SENDING THE **APPLICATION**

### **Preparing Your Application**

#### **FORMAT**

All application materials must

- Be on 8.5- by 11-inch paper.
- Have a margin of at least .5 inch on all sides.
- Be printed in a font with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable.
- Have page numbers on each page, front and back if double-sided pages are used.

An application requesting 21st Century Museum Professionals grant support should include the following materials organized in the order listed. Following this list is a description and reference pages for each piece of the application.

- 1. Face Sheet
- 2. Application Checklist
- 3. Narrative (not to exceed seven pages); each evaluation criterion is numbered and labeled
- 4. Schedule of Completion
- 5. Project Budget (Summary, Detailed, and Budget Justification)
- 6. Current, federally negotiated rate for indirect costs, if applicable
- 7. Specifications for Projects Involving Digitization, if applicable
- 8. Proof of Non-profit Status, if applicable
- 9. Partnership Statement, if applicable
- 10. Organizational Profile(s)
- 11. List of key project staff and consultants
- 12. Letters of Commitment
- 13. Resume(s) for key project personnel (not to exceed two pages per person)
- 14. Attachments (see page 3.9 for more information)
- 15. Electronic version of item 3 and question 40 of the Face Sheet on a 3.5 inch disk or a CD

Applicants are required to submit an electronic copy of item 3 and question 40 of the Face Sheet on a 3.5 inch disk or a CD, formatted as a text file (.txt) or a rich text file (.rtf). Be sure to include institution and project contact information as a file in your disk. No submitted application materials will be returned.

The applicant must submit one original [with original signature(s) of authorizing official] plus 10 copies of the entire application (1 + 10 = 11), plus two additional copies of the Face Sheet. Please do not use staples to fasten the original and each copy of the application. Please use binder clips or other removable binding systems. Do not place the original or copies in binders or notebooks.

#### ELECTRONIC FILL-IN APPLICATION FORMS

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format for download. Applicants can download the electronic version of an IMLS application form and, using freely available software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Note that the forms cannot be submitted electronically but can be completed online and then printed on the applicant's printer and shipped. Caution: the forms cannot be saved, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit http://www.imls.gov/grants/appl/index.htm. Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms.

#### FACE SHEET

The Face Sheet summarizes all of the applicant's contact information and useful data about the proposed project. The Face Sheet is located in the Application Forms section of this document (pages 4.3-4.5). Use or replicate the form in this booklet or access the electronic fill-in form at the IMLS Web site.

### FACE SHEET FORMS INSTRUCTIONS Questions 1-9

Enter the legal name of the organization that is making the application and its mailing address, Web address, and DUNS and TIN numbers. If a museum or other eligible entity does not have the authority to apply directly to IMLS for funding, enter the name of the parent organization that is submitting the application on behalf of the eligible entity, followed by the name of the museum or other eligible entity in the space provided for the organizational unit.

#### Questions 10-17

Enter the name, address, and contact information of the person (Project Director) who will be responsible for carrying out the project and who will serve as the primary contact with IMLS regarding the progress achieved under the grant.

#### Questions 18-24

Enter the name, address, and contact information of the person (Authorizing Official) who has the authority to apply for federal support of the institution's activities and enter into legal agreements in the name of the institution. (In those rare instances when a person who would normally serve as the authorizing official is the project director, the name, title, address, etc. of the person to whom the project director reports—e.g., the Board Chair—should be entered here and that person should sign the application).

#### Question 25

Check yes if the applicant organization is a university or is part of a university.

#### Question 26

Indicate the applicant organization's type of governing authority.

#### Question 27

Indicate the most appropriate description of the applicant organization.

#### Questions 28-29

Enter the number of full-time and part-time paid staff at the museum or eligible entity.

#### Questions 30-31

Enter the number of full-time and part-time unpaid staff at the museum or eligible entity. This figure can include volunteer staff.

#### Question 37

Enter the project's starting date (must be first day of the month in which grant activities are scheduled to begin). Enter the project's ending date (the last day of the month in which these activities will be completed).

#### Question 41

This statement is to be signed by the Authorizing Official of the applicant organization.

#### NARRATIVE

The Narrative is the section that describes your project. It should explain what need the grant activities will meet and provide sufficient information for reviewers to evaluate all criteria. The Narrative

- Identifies grant activities, addressing the Narrative Evaluation Criteria listed on pages 2.2–2.3.
- Has each narrative criterion labeled and numbered.
- Answers each criterion in the order listed on pages 2.2–2.3.
- Does not include detailed budget discussions. These should be included in Budget Justification section (see page 3.4).
- Is legible so that reviewers can easily read the information you provide. IMLS recommends that you produce the Narrative using a word processing system.
- Handwritten applications will not be accepted.
- Is no more than seven single-spaced, one-sided pages in length.

#### SCHEDULE OF COMPLETION

A schedule of completion is a graph or list that

- Shows when each major project activity will be completed; project activities must begin between October 1, 2005 and December 1, 2005.
- Should correspond to the activities described in the Narrative.
- When showing an ongoing project or program, differentiates between IMLS funded portions and portions funded before or after the IMLS project begins.
- Indicates the milestones for completion of each major project activity as illustrated by the sample on page 4.11. The applicant need not follow the sample format but should provide the same type of information.

#### PROJECT BUDGET

The IMLS 21st Century Museum Professionals grant application includes three elements to describe the costs of a proposed project: a Summary Budget form that describes costs for the entire project, a Detailed Budget form for each year of the project, and a Budget Justification that explains all components of the Detailed Budget form.

#### SUMMARY BUDGET

The Summary Budget should clearly identify the amount requested from IMLS, and the amount provided as cash and in-kind contributions by the applicant, by any partners, and from any other sources in the cost share column. This page is available as an electronic fill-in form on the IMLS Web site (see page 3.3) or may be recreated using the same format.

#### **DETAILED BUDGET**

IMLS has provided instructions below on what information to include in the Detailed Budget form. IMLS has described cost categories included on the Detailed Budget form, as well as the information that the applicant should include in this section.

### DETAILED BUDGET FORMS INSTRUCTIONS Project Costs

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge.

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization's indirect cost pool (see Indirect Costs below) are not charged to the project as direct costs.

#### **Fringe Benefits**

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

#### **Travel Costs**

The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

#### Equipment

Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

#### **Services**

The costs of project activities to be undertaken by a third-party contractor, including a partner, should be listed under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. A complete itemization of these costs should be attached to the IMLS budget form. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS budget form and must have an attached itemization.

#### INDIRECT COSTS (OVERHEAD)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

- Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget, but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency, may charge an administrative fee to the project of up to 15 percent. IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This fee may also be applied to the direct project costs that will be supported by the applicant and may therefore be counted as part of the applicant's cost sharing. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to more than the first \$5,000 of distorting costs such as equipment purchases or subcontracts.
- If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. However, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be supported by the applicant may be included in the budget only as a part of the applicant's cost sharing. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued.
- An institution that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the award will be reduced if the final negotiated rate is less than the rate that was used in the application budget. However, the amount of the award will not be increased if the negotiated indirect cost rate is higher than the rate proposed in the application.
- An organization that will function as a partner in undertaking grant activities may charge an administrative fee to the project of up to 15 percent if it does not have a federally negotiated indirect cost rate that will be current the time the award is made. If it chooses to charge indirect costs to the project, a copy of the indirect cost negotiation must be attached to the budget itemization.

#### **BUDGET JUSTIFICATION**

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The applicant should provide specifications for all hardware and software for which IMLS funding is requested.

IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

SPECIFICATIONS
FOR PROJECTS
INVOLVING
DIGITIZATION,
IF APPLICABLE

Some 21st Century Museum Professionals proposals will include the digitization of collections. While the training of staff should be the major component of these projects, IMLS anticipates that some projects could result in the creation of digitized collections or materials. These types of projects must provide information about their planning and the standards that they intend to use during the digitization element of the project. They must complete and submit the application form Specifications for Projects Involving Digitization (see pages 4.9 to 4.10). Proposals that do not include digitization do not need to include any information on digitization or the Specifications for Projects Involving Digitization application form in their application materials.

For a list of resources on digitization projects that can help applicants complete this form, see page 2.4. This list is intended to assist in learning more about digitization projects and is neither exhaustive nor an endorsement by IMLS of any particular resource. Below, IMLS has provided instructions describing what information to include in the Specifications for Projects Involving Digitization form (pages 4.9 to 4.10).

### SPECIFICATIONS FOR PROJECTS INVOLVING DIGITIZATION FORM INSTRUCTIONS

#### Question 1

Describe all the types of materials that you will digitize. Describe the different formats of materials such as text, photographs, three-dimensional art objects, archaeological artifacts, video, etc., and give the number of each type. Identify special physical features, such as "bound" or "oversize."

#### **Question 2**

- a. Identify all use or access restrictions covering the original materials. Check the type of restriction and give the percentage of the materials to be digitized that are covered.
- b. Explain any access or use restrictions, such as copyright, that will apply to the digitized version being created by the project.

#### Question 3

Explain what equipment will be used and include specifications that are relevant to the work of the project, such as cameras with zoom capability, scanners, servers, motorized object rigs, etc. Equipment must be described whether you will do the digitization in-house or outsource it to a contractor or partner.

#### Question 4

Specify the file formats to be produced and the anticipated quality of each format. For images, specify master, access, and thumbnail versions and image quality of each: minimum resolution, depth, tone, and pixel dimensions. If watermarks or other features will be used, explain. For other media (e.g., audio, video, motion picture), provide appropriate specifications. Include sampling rates, if applicable.

#### Question 5

Explain how the digital material will be delivered to users and describe digital access management systems or software that will be used.

#### Question 6

Describe your plan for ensuring the quality of the digital product.

#### Question 7

Estimate the cost per image or unit of digitization (e.g., video, motion picture). Include all aspects of production, such as scanning, quality control, and indexing, and explain what costs are included in the calculation.

#### **Question 8**

Explain what metadata will be used to describe and manage the content. Include the standards that will be used for data structure, content (e.g. thesauri), protocols, administrative information, and communication of the content.

#### Question 9

Provide a plan for preserving and maintaining the digital material during and after the grant period. The plan should cover metadata, storage systems and media to be used, migration plans, maintenance responsibilities, and funding support.

#### Question 10

If you are producing collection level records, describe plans for submitting collection-level descriptive records to a bibliographic utility or service, such as the Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC).

#### **Question 11**

Describe plans for submitting information about the project to a public registry of digital resources, including the IMLS-supported Digital Collections and Content Registry and Metadata Repository Project at http://imlsdc.grainger.uiuc.edu.

#### Question 12

Provide URL(s) for applicant's previously digitized collections, if applicable. If the proposed digital collection will differ substantially in look and feel from collections previously digitized, explain what the difference(s) will be.

# PROOF OF NON-PROFIT STATUS

If your organization is a private, non-profit organization (if you answered "Private [Non-profit" or "Other" on Line 26 of the Face Sheet]

- You must submit a copy of the IRS letter indicating your organization's eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended.
- IMLS will not accept a letter of state sales tax exemption as proof of non-profit status.

#### PARTNERSHIP STATEMENT ORGANIZATIONAL PROFILE(S)

A sample group Partnership Statement is provided on page 4.12. The Partnership Statement must confirm all conditions identified on page 1.4 of these guidelines.

The applicant and each official partner, as listed on question 38 of the Face Sheet, must provide an organizational profile of no more than one page that identifies the organization's mission, service area and levels of service, placement within a parent organization (if applicable) and where within the organization the responsibility for the management of the proposed project activities would be assigned.

#### LIST OF KEY PROJECT STAFF AND CONSULTANTS

A one-page list of all key museum staff and consultants for the project is required. If a name appears on this list, there must be a resume to accompany it.

■ If hiring personnel for a key project position, include position titles on this list. If a position title appears on this list, there must be a position description to accompany it.

RESUMES

Resumes or vitae for each person on the "List of Key Project Staff" are required.

- You must include resumes of both museum staff and consultants.
- Resumes are limited to two pages each for all key personnel.
- If staff is to be hired with grant funds, then include one-page position description of the qualifications of the person to be hired for the project. Each position description must specify the amount and type of experience required; the level of education required; and the precise role that person will play in the project.

### LETTERS OF

You must submit a letter of commitment for each project consultant. The letter should include

- Confirmation that the consultant will work on the project if funded.
- Dates of service, scope of work, and fee structure.
   The information in this letter must correspond to the information in your application narrative.

#### **ATTACHMENTS**

Attachments are documents that specifically relate to the justification for the project.

- IMLS strongly encourages inclusion of needs assessments (formal or informal documentation used to evaluate and plan projects; that can include surveys, reports, etc.), reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature, or other documents for the evaluation of the proposal.
- IMLS does not encourage inclusion of letters of support.
- The number of attachments you may include is not limited. However, all attachments must relate specifically to your project.

### How to Assemble the Application Package

Review your application package carefully before sending it to us. You must include *all* of the required items listed below in the original and 10 copies that you send to IMLS. *Your application is subject to rejection without review if any required item is missing.* If you have any questions, contact IMLS at (202) 606-8539.

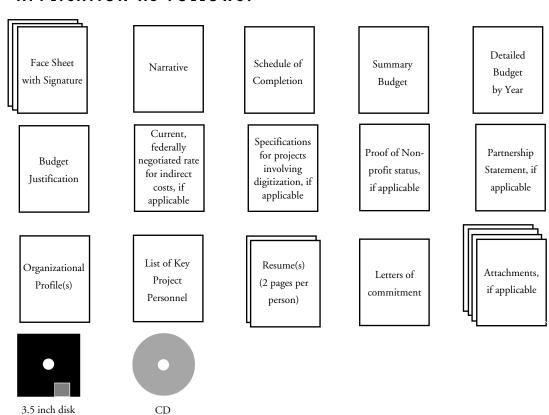
#### ASSEMBLE YOUR APPLICATION PACKAGE AS FOLLOWS

### STEP 1: MAKE TWO PHOTOCOPIES OF YOUR FACE SHEET IN ADDITION TO YOUR ORIGINAL.

Extra Face Sheet (copy 1)

Extra
Face Sheet
(copy 2)

### STEP 2: COLLATE ONE ORIGINAL (COMPLETE) COPY OF YOUR APPLICATION AS FOLLOWS:



STEP 3: MAKE 10 IDENTICAL SETS OF THE MATERIAL YOU ASSEMBLED IN STEP 2.

STEP 4: COLLATE YOUR PILES FROM STEPS 1-3 AS FOLLOWS:

Extra
Face Sheets
(2 Copies)

Original Application Ten (10) copies of the application

STEP 1

STEP 2

STEP 3

PLEASE DO NOT USE STAPLES TO FASTEN EACH COPY OF THE APPLICATION. PLEASE USE BINDER CLIPS OR OTHER REMOVABLE BINDING SYSTEMS.

YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.

Note: IMLS will not do your photocopying or collating!

### Sending the Application to IMLS

Ship 21st Century Museum Professionals applications to:

21st Century Museum Professionals Grants postmarked by March 15

Office of Museum Services Institute of Museum and Library Services 1100 Pennsylvania Avenue, NW, Suite 609 Washington, DC 20506

#### SHIPPING

Shipping an application to IMLS:

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All of the first-class and Priority mail sent through the U.S. Postal Service to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage.
- Please consider using commercial delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- In the event that a deadline falls on a day U.S. Post Offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.

#### I M L S ACKNOWLEDGEMENT

- Within 30 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected. See Shipping, above, for information about postal delays.

### PROOF OF SHIPPING

IMLS may ask for proof of shipping if the postmark date on the package cannot be read.

- The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, and then verify that it is properly date stamped.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.

# PART 4 APPLICATION FORMS

# **Application Checklist**

Use this checklist to help you arrange the sections of the application in the correct order. ☐ Face Sheet with signature (3 pages) Narrative (not to exceed seven pages) ☐ Schedule of Completion ☐ Project Budget Forms □ Summary Budget ☐ Detailed Budget ☐ Budget Justification Current, federally negotiated rate for indirect costs, if applicable Specifications for projects involving digitization, if applicable Proof of Non-profit Status, if applicable ☐ Partnership Statement, if applicable Organizational Profile(s) List of key project staff and consultants Resume(s) for key project personnel (not to exceed two pages per person) Letters of Commitment ☐ Attachments

# **Face Sheet**

OMB No. 3137-0057 Exp. 1/31/2008 CFDA No. 45.307

IMPORTANT! READ INSTRUCTIONS ON PAGE 3.3 BEFORE PROCEEDING.

Applicant Organization 2. Organizational Unit (if applicable)		d Unit (if applicable)	
3. Applicant Organization Mailing Address			
4. City	5. State	6. Zip Code	
7. Web Address			
8. Applicant Organization DUNS Number (9 digits)			
9. Applicant Organization TIN Number (9 digits)			
10. Name and Title of Project Director $\square$ Mr. $\square$ Ms. $\square$ Dr.	11. Business Phone of Project Director		
12. Project Director Mailing Address			
13. City	14. State	15. Zip Code	
16. Fax Number of Project Director	17. E-mail Addr	ess of Project Director	
18. Name and Title of Authorizing Official	19. Business Phone of Authorizing Official		
20. Authorizing Official Mailing Address			
21. City	22. State	23. Zip Code	
24. E-mail Address of Authorizing Official			
25. Is the applicant organization university controlled?	yes $\square$ no		
26. Governing control of applicant ☐ State ☐ Tribal Government ☐ Other, please specify	Municipal 🗆 Co	ounty Private Non-Profit	
27. Type of organization (check one)			
State museum agency	☐ Historic house/s	site	
☐ Institute of higher learning	☐ History museun		
☐ Museum services organization or association	☐ Natural history	museum	
Aquarium	☐ Nature center		
Arboretum/botanic garden	Planetarium		
Art museum	Science/technolo		
☐ Children's/youth museum ☐ General museum*	Specialized muse		
<ul> <li>General museum</li> <li>A museum with collections representing two or more dis</li> </ul>	$\Box$ Zoological socie		

<sup>\*</sup> A museum with collections representing two or more disciplines equally (e.g., art and history).

\*\* A museum with collections limited to one narrowly defined discipline (e.g., textiles, stamps, maritime, ethnic group).

28. Number of full-time	e paid staff	29. Numbe	er of part-time paid s	taff
30. Number of full-time unpaid staff 31. Number of part-time unpaid staff				
32.–33.				
Fiscal Year	Revenue/ Support/Income	Expenses/ Outlays	Budget Deficit (if applicable)*	Budget Surplus (if applicable)
Most recently completed FY 20	\$	\$	(\$ )	\$
Second most recently completed FY 20	\$	\$	(\$ )	\$
* If Institution has a budget deficit for either of the two most recently completed fiscal years, please attach a single sheet behind this face sheet to explain the circumstances of this deficit.				
34. Project Title				
35. Amount Requested \$				
36. Amount of Matching Funds \$				
37. Grant Period (Starting Date) / 01 / / / (Ending Date) (must begin between 10/1/05 – 12/1/05)				
38. In the space below, include the names of any organizations that are official partners of the project.				

39. Applicant Organization Name	
40. In the space below, summarize the project activities (2,000 maximum)	um character count).
41. To the best of my knowledge and belief, the information pro This application has been duly authorized by the governing be comply with all grant terms and conditions and with the assu IMLS 21st Century Museum Professionals guidelines.	vided in this application is true and correct body of the applicant, and the applicant wil trances and certifications that appear in the
Name of Authorizing Official	
Title	
Signature of Authorizing Official	
-	

# Project Budget Form SECTION 1: SUMMARY BUDGET

Name of Applicant Organization			
IMPORTANT! READ INSTRUCTION	ONS ON PAGES 3.4–3.7 BEFO	ORE PROCEEDING.	
DIRECT COSTS	IMLS	Cost Share	Total
Salaries & Wages			
Fringe Benefits			
Consultant Fees			
Travel			
Materials, Supplies & Equipment			
Services			
Other			
TOTAL DIRECT COSTS	\$	\$	\$
*You may request indirect costs from IMLS only on the direct project costs requested from IMLS.	\$	\$L PROJECT COSTS	\$ \$
AMOUNT OF CASH-MATCH	·		
AMOUNT OF IN-KIND CO	NTRIBUTIONS \$ INCLUDING INDIRECT CO	STS)	
TOTAL AMOUNT OF MATC	H (CASH & IN-KINI	CONTRIBUTIONS)	\$
AMOUNT REQUESTED FRO	M IMLS, INCLUDIN	G INDIRECT COSTS	\$
PERCENTAGE OF TOTAL P	ROJECT COSTS REQ	UESTED FROM IMLS	%
Have you received or requested fu (Please check one) ☐ Yes ☐		ect activities from another	federal agency?
If yes, name of agency			
Date of application	or award Ar	nount requested or receive	ed \$

# Project Budget Form

### **SECTION 2: DETAILED BUDGET**

IMPORTANT! Read instructions on pages 3.4–3.7 before proceeding.  SALARIES AND WAGES (PERMANENT STAFF)  Name/Title No. Method of Cost IMLS Cost Share  Computation  ( )  ( )  ( )  TOTAL SALARIES AND WAGES \$	Total
COMPUTATION  ( )	
SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)  Name/Title  No. Method of Cost IMLS Cost Share  Computation  ()  ()	
FRINGE BENEFITS           RATE         SALARY BASE         IMLS         Cost Share	Тотаг
CONSULTANT FEES  NAME/TYPE OF CONSULTANT RATE OF COMPENSATION No. OF DAYS (OR IMLS COST SHARE (Daily or Hourly) Hours) on project	Тотац
TOTAL CONSULTANT FEES \$	
TRAVEL  Number of: Subsistence Transportation From/To Persons Days Costs Costs IMLS Cost Share	Total

# Project Budget Form

### **SECTION 2: DETAILED BUDGET CONTINUED**

Year □1 □2 □3

TTEM	METHOD OF COST  COMPUTATION	IMLS	Cost Share	Тотац
TOTAL COST OF N	MATERIALS, SUPPLIES, & EQUIPMENT \$	; <u> </u>		
SERVICES Item	Method of Cost Computation	IMLS	Cost Share	Total
	TOTAL SERVICES COSTS \$	; <u> </u>		
OTHER ITEM	Method of Cost Computation	IMLS	Cost Share	Total
	TOTAL OTHER COSTS \$	;		
	TOTAL DIRECT PROJECT COSTS \$	; <u> </u>		
Applicant organization  A. An indirect cost rate	r B and complete C. (See section on is using: which does not exceed 15 percer d indirect cost rate (see page 3.6).			narged to IML
Name of Federal Agend	Expir	ration Date of Ag	greement	
Rate Base Amount	% of \$ = \$ .		_	
	IMLS	Cost Share	Total	
C . Total Indirect Cost	sts \$	\$	\$	

# Specifications for Projects Involving Digitization

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.7–3.8 BEFORE PROCEEDING.

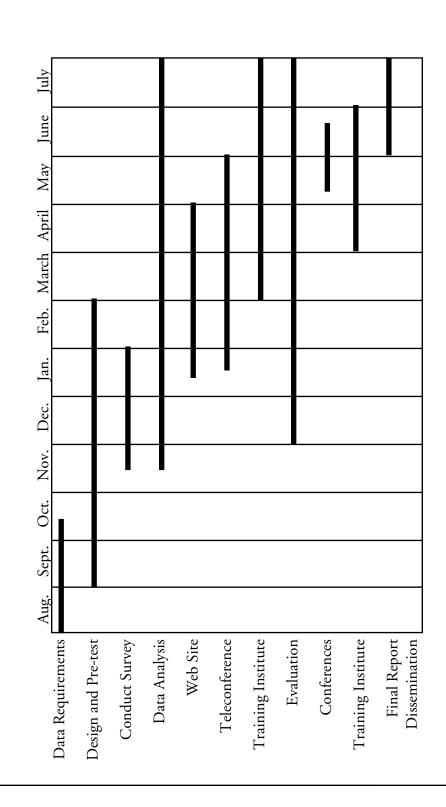
2005 IMLS 21st Century Museum Professionals Grants

1. Describe types of materials to be digitized (e.g., artifacts, maps, manuscripts, photographs, audio recordings,		
video recordings, motion pictures) and number of each.		
2. a. Identify copyright issues and other potential restrictions with regard to the original material:		
□ Public Domain% of total		
☐ Permissions have been obtained% of total		
☐ Permissions to be requested% of total – Plan to address:		
☐ Privacy Concerns% of total – Plan to address:		
☐ Other - Explain:		
b. Describe the terms of access and use of the digitized version created by this project.		
3. List the equipment, with specifications, whether purchased, leased, or outsourced, that will be used (e.g.,		
camera, scanner, server):		
4. Specify each type of file format (e.g., TIFF, JPEG) to be produced and anticipated image quality of each		
(e.g., minimum resolution, depth, tone, pixel dimensions):		
☐ Master		
□ Access		
☐ Thumbnail		
☐ Formats for other media (e.g., audio, video, motion picture), include sampling rates, if applicable		

5. Describe (1) the delivery medium that will be used and (2) the digital access management system or systems that will be used to make this material available to others:
6. Describe the quality control plan:
7. Estimate cost per image. Include costs such as scanning, quality control and indexing. Indicate the basis for calculation:
8. Explain how content will be discovered through metadata, including which standards you will use (e.g., MARC, EAD, Dublin Core, VRA Core Categories, Categories for the Description of Works of Art):
9. Describe plans for preservation and maintenance of the digital files during and after the expiration of the grant period:
10. If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility, such as Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC):
11. Describe plans for submitting information about the project to a public registry of digital resources:
12. Provide URL(s) for applicant's previously digitized collections, if applicable:

# Sample Schedule of Completion

discussed in the Narrative. The dates on your Schedule of Completion must correspond with the project dates on the Face This sample Schedule of Completion provides sample project activities and a sample timeline for each activity. You need not follow the sample format but should provide the same project information. List each major project activity Sheet (page 4.4).



# Sample Partnership Statement

This page is a sample format for a partnership application. Prepare yours in a similar manner. You may complete separate statements with each partner or add additional signature lines for multiple partners. Information about partnership applications is on page 1.4. All partners must sign Partnership Statements. They do not need to all sign the same document.

1.	Applicant Organization:	
	Other partner members (organization	ons):
2.	Briefly list the activities that each or	ganization has agreed to perform:
3.	Narrative;  We will use any funds we receiv federal laws and regulations; and	described above and in the Application re from IMLS in accordance with applicable
Sigi	nature of Authorizing Official	Partner Organization (Type or Print)
Naı	me of Authorizing Official (Type or Print)	Date
Sign	nature of Authorizing Official	Partner Organization (Type or Print)
Naı	me of Authorizing Official (Type or Print)	Date
Sign	nature of Authorizing Official	Partner Organization (Type or Print)
Naı	me of Authorizing Official (Type or Print)	Date

## **IMLS** Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, nondiscrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. Review the Statement and sign the certification form, question number 41 on the Application Face Sheet, pages 4.3 to 4.5. If you receive a grant, you must comply with these requirements.

### **ASSURANCES STATEMENT**

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations, which are available from IMLS upon request. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

### CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, **ADMINISTRATIVE**, AND LEGAL **ACCOUNTABILITY** 

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the nonfederal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

FEDERAL STATUS

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

### DEBARMENT AND SUSPENSION

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state, or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, makings false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

### NON-DISCRIMINATION

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.

### DRUG-FREE WORKPLACE ACT OF 1988

- (A) The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
  - (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
  - (b) establishing an ongoing drug-free awareness program to inform employees about:
    - (1) the dangers of drug abuse in the workplace;
    - (2) the grantee's policy of maintaining a drug-free workplace;
    - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
  - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
  - (1) abide by the terms of the statement; and
  - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
- (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
  - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
  - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.
- The authorizing official certifies, to the best of his or her knowledge and belief that:

  (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension,

continuation, renewal, amendment, or modification of a federal contract, grant,

loan, or cooperative agreement;

- (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions; and
- (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

CERTIFICATION
REGARDING
LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)

### GENERAL CERTIFICATION

The authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program. IMLS grant regulations may be found at 45 CFR Part 1180 *et seq.* 

### II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

### **SUBAGREEMENTS**

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:
  - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
  - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NATIVE AMERICAN HUMAN REMAINS AND ASSOCIATED FUNERARY OBJECTS The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

### HISTORIC PROPERTIES

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

### **ENVIRONMENTAL PROTECTIONS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514;
- (b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- (c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- (d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended;
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.);
- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

### RESEARCH ON HUMAN AND ANIMAL **SUBJECTS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

For further information on these certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506 or call (202) 606-8536.





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